

**Chief Compliance Officer
Office of Enterprise Compliance**

June 13, 2011

Item 4a – Attachment 1

Board Assignment Status

Assignment Date	Request / Subject	Due Date	Status / Completed Date
Dec 2010	Allegation cases for Board Members and Executive staff should be investigated by an outside party.	September 2011	Staff is researching and developing an escalation protocol to refer Ethics Helpline issues to an external party when deemed appropriate for external investigation or review. Information will be presented in September.

Other Items of Interest

Item of Interest	Status / Completed Date
Program Activities	<ul style="list-style-type: none"> • ECOM personnel presented two sessions of Compliance and Ethics Everyone's responsibility in New Employee Orientation on May 4, 2011 and June 8, 2011. • ECOM personnel presented one session of Compliance and Ethics Everyone's responsibility in Leadership Essentials And Direction for your Emerging Role on June 3, 2011.
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	<ul style="list-style-type: none"> • Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing weekly summaries of compliance alerts to the Chief Compliance Officer. • CAMs worked with INVO and LEGO on Investment policy reviews.
Compliance Area Manager – Health	<ul style="list-style-type: none"> • CAM worked with Health business line to assess risk of non-compliance with policies, rules, and regulations.
Compliance Area Manager – Pension	<ul style="list-style-type: none"> • CAM worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations.
Compliance Area Manager – Transparency and Disclosure	<ul style="list-style-type: none"> • In accordance with CalPERS Form 700 and Travel Transparency Policy, ECOM posted the Transparency filers financial disclosures and travel summaries to the CalPERS external website.